



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 1 – NEW ENGLAND
5 POST OFFICE SQUARE – SUITE 100
BOSTON, MASSACHUSETTS 02109-3912

URGENT LEGAL MATTER -- PROMPT REPLY NECESSARY
CERTIFIED MAIL: RETURN RECEIPT REQUESTED

August 26, 2019

BWM Metals, LLC
c/o William E. Wolf, Manager
900 North Michigan Avenue, Suite 1600
Chicago, IL 60611

Re: **Request for Information** Pursuant to Section 104 of CERCLA
Liberty Street Ansonia Copper & Brass Site, Ansonia, CT

Dear Mr. Wolf:

This letter seeks your cooperation in providing information and documents relating to environmental conditions at, and cleanup of, the Liberty Street Ansonia Copper & Brass Site located in Ansonia, Connecticut (the "Site") which is further described in Attachment 1.

The United States Environmental Protection Agency ("EPA") conducted a removal action at the Site and is continuing its investigation into the release or threatened release of hazardous substances, pollutants and contaminants at the Site. This investigation has included an inquiry into the identification, nature, source and quantity of materials transported to or generated, treated, stored or disposed of at the Site. EPA is also seeking information concerning those persons responsible for the cleanup of the Site and their ability to finance that cleanup.

Pursuant to the authority of Section 104(e) of the Comprehensive Environmental Response, Compensation and Liability Act ("CERCLA"), 42 U.S.C. § 9604(e), you are hereby requested to respond to the Information Request set forth in the Enclosures to this letter.

While EPA seeks your voluntary cooperation in this investigation, compliance with the Information Request is required by law. Failure to provide a complete truthful response to this Information Request within **thirty (30) days** of your receipt of this letter, or to adequately justify such failure to respond, may subject you to an enforcement action by EPA pursuant to Section 104(e) of CERCLA. This provision permits EPA to seek the imposition of penalties of up to fifty-seven thousand three hundred seventeen dollars (\$57,317) for each day of non-compliance.

Please note that responses which are incomplete, ambiguous, or evasive will be treated as complete non-compliance with this Information Request. Also be further advised that provision of false, fictitious, or fraudulent statements or representations may subject you to criminal penalties under 18 U.S.C. § 1001.

This Information Request is not subject to the approval requirements of the Paperwork Reduction Act of 1980, 44 U.S.C. § 3501 *et seq.*

Your response to this Information Request should be mailed to:

Tina Hennessy, Enforcement Coordinator
U.S. Environmental Protection Agency
Office of Site Remediation & Restoration
5 Post Office Square, Suite 100 (02-2)
Boston, MA 02109-3912

If you have general questions concerning the Site or this Information Request, please contact Tina Hennessy at (617) 918-1216. If you have any legal questions, please contact Eve Vaudo, Senior Enforcement Counsel, U.S. Environmental Protection Agency – New England, 5 Post Office Square, Suite 100 (04-4), Boston, MA 02109-3912, or at (617) 918-1089.

Due to the seriousness of the problem at the Site and the legal ramifications of your failure to respond properly, EPA strongly encourages you to give this matter your immediate attention and to respond to this Information Request within the time specified above.

Thank you for your cooperation in this matter.

Sincerely,

A handwritten signature in black ink, appearing to read 'EJB', with a long horizontal line extending to the right.

Edward J. Bazen, Chief
Emergency Response & Removal Section I

Enclosures

cc: Tina Hennessy, EPA Enforcement Coordinator
Eve Vaudo, EPA Senior Enforcement Counsel

ENCLOSURE A

INFORMATION REQUEST FOR BWM METALS, LLC
LIBERTY STREET ANSONIA COPPER & BRASS SUPERFUND SITE
ANSONIA, CONNECTICUT

Period Being Investigated: January 1, 2012 to the Present

In addition to the questions which follow, this enclosure includes a declaration, a site description, detailed instructions for responding to this request, and definitions of words such as "Respondent," "identify," and "waste" used in the questions. These materials appear at the end of the questions; please refer to them in answering all questions. Of particular importance:

- Answer each question with respect to the period being investigated noted above unless the question indicates otherwise.
- Answer all questions completely in accordance with the definitions and instructions.
- Complete the enclosed declaration.
- For each question, identify all persons and documents relied upon in the preparation of the answer.
- All information provided for which you are making a claim of business confidentiality or which contains personal privacy information should be contained on separate sheets and clearly marked as confidential or private.
- This request imposes a **continuing obligation** upon you to submit responsive information discovered after your original response is submitted to EPA.

1. Information Request Questions

NOTE: All questions in this section refer to the present time unless otherwise indicated.

- a. Provide the full legal name, mailing address, and email address of Respondent.
- b. For each person answering these questions on behalf of Respondent, provide:
 - i. full name;
 - ii. title;
 - iii. business address; and
 - iv. business telephone number, email address and FAX machine number.
- c. If Respondent wishes to designate an individual for all future correspondence concerning the Site, including any legal notices, please provide that individual's name, address, telephone number, email address and FAX number, and the designated individual's relationship to the Respondent.

2. Legal and Financial Information for Respondent, BWM Metals, LLC

NOTE: All questions in this section refer to the time period being investigated unless otherwise specifically indicated below. EPA requests that you provide a complete response and documents for each of these questions below.

- a. Complete, fully, the attached Financial Statement for Businesses (Enclosure B) for Respondent and provide all supporting documentation.
- b. Provide complete copies of all federal and state tax returns (income tax, gift tax, estate tax, or other), including all complete schedules, for Respondent from 2012 to the Present, as submitted to the Internal Revenue Service.
- c. Provide audited financial statements for Respondent from 2012 to the present, including income statements, balance sheets, cash flow reports, shareholder's equity reports, financial audits or other financial reports showing Respondent's assets, profits, liabilities and current financial status.
- d. Provide all signed and dated loan applications filed by Respondent from 2012 to the present.
- e. If Respondent is, or was at any time, a corporation provide:
 - i. the date of incorporation;
 - ii. state of incorporation;

- iii. the names of all officers from 2012 to the present, including their titles and dates of office;
 - iv. the names of all directors from 2012 to the present, including their titles and dates of office;
 - v. the names of all managers from 2012 to the present, including their titles and dates of office;
 - vi. the names of all shareholders owning the company's stock at any time from 2012 to the present; including the name, current or most recent address and phone number of each shareholder; and the number of shares held by each shareholder; and
 - vii. the names and addresses of all parent and subsidiary entities affiliated with the company.
- f. If Respondent has filed for bankruptcy, provide:
- i. the U.S. Bankruptcy Court in which the petition was filed;
 - ii. the docket numbers of such petition;
 - iii. the date the bankruptcy petition was filed;
 - iv. whether the petition is under Chapter 7 (liquidation), Chapter 11 (reorganization), or other provision; and
 - v. a brief description of the current status of the petition.
- g. On October 15, 2015, Respondent voluntarily cancelled its corporate status. Please provide the following information:
- i. a brief description of the nature and reason for cancellation;
 - ii. provide the identity of all officers, directors, managers and shareholders at the time of cancellation;
 - iii. provide the identity of any individuals or entities to whom Respondent transferred its liabilities;
 - iv. provide the identity of any individuals or entities indemnified by Respondent related to Respondent's activities at the Site;
 - v. provide the identity of any individuals or entities responsible for liquidating Respondent's affairs;
 - vi. a statement of the net worth of Respondent at the time of cancellation;
 - vii. a statement of how and to whom Respondent's assets were distributed and the value of such assets; and
 - viii. a statement of whether any cash reserves were created to meet contingent liabilities following Respondent's cancellation, and if such cash reserves were created, a statement of their current status.
- h. If Respondent no longer exists as the same legal entity it was during the period being investigated because of transactions involving asset purchases or mergers, provide:

- i. a brief statement describing the nature of the asset purchases or mergers;
 - ii. the titles and dates of the documents that embody the terms of such transactions;
 - iii. the identities of the seller, buyer and any other parties to such transactions; and
 - iv. copies of the documents that embody the terms of such transactions (e.g., purchase agreements, merger and dissolution agreements).
- i. Identify each of Respondent's predecessors and/or successors-in-interest and provide a description of the relationship between Respondent and each of those predecessors and/or successors-in-interest.
- j. If Respondent has ever done business under any other name;
 - i. list each such name; and
 - ii. list the dates during which such name was used by the company.
- k. Provide name and address of the person and/or accountant in charge of preparing or reviewing Respondent's annual report and provide a copy of the most recent annual report.
- l. Provide copies of all UCC filings filed by Respondent and against Respondent from 2012 to the Present.
- m. Provide copies of Respondent's corporate minute books from 2012 to the Present, and any related corporations.

3. Relationship with CUNI Casting

NOTE: All questions in this section refer to the period being investigated (2012 to the Present) unless otherwise indicated.

- a. Describe the nature and extent of any ownership interest that Respondent had or may have in CUNI Casting, LLC ("CUNI Casting") and when and how such ownership interest was acquired.
- b. Describe the nature of any contract(s), agreement(s) or other relationship between Respondent and CUNI Casting including the dates of any such contract(s), agreement(s) or relationship.
- c. Provide a history (e.g., payment dates, amounts received, etc.) of dividends received by Respondent from CUNI Casting.

- d. Does Respondent provide, or has Respondent ever provided, any assistance, guidance, advice or input of any nature to CUNI Casting in the preparation or formulation of CUNI Casting's business strategy, business goals, budgets, and/or forecasts? If so, explain in detail.
- e. Has Respondent ever made any loan(s) to CUNI Casting? If so, provide complete information pertaining to such loan(s), including copies of all loan documentation (i.e., loan agreements, promissory notes, guarantees, security agreements, financing statements, amortization/payment tables), and complete information pertaining to any assignment, extension, composition, and/or restructuring of such loan(s). For the purposes of this question, "loan" shall include the establishment of a line of credit for the use and/or benefit of CUNI Casting, whether or not such line of credit has ever been drawn on.
- f. Has Respondent ever transacted any business with CUNI Casting? This includes the purchase of goods or services, or the sale of goods or services. If so, provide complete information regarding the nature and extent of such transactions or business relationship.
- g. Has Respondent ever acted directly or indirectly to guarantee any loan made to CUNI Casting? If so, provide complete information regarding such arrangement, including copies of all documents pertaining to such arrangement.
- h. Was CUNI Casting required to receive Respondent's approval or concurrence when making expenditures? If so, explain in detail.

4. Relationship(s) to Other Entities

NOTE: All questions in this section refer to the period being investigated (2012 to the Present).

- a. Please describe, and provide any and all documentation in your custody, control or possession, for each and every contract, agreement, or other relationship Respondent had or has with BW Metals, LLC ("BW Metals") relating to, referring to, or affecting the Site, including but not limited to:
 - i. a general statement of the nature of such contract(s), agreement(s) or relationship(s);
 - ii. the dates such contract(s), agreement(s) or relationship(s) existed;
 - iii. a detailed description of the activities conducted by BW Metals at the Site including the beginning and ending dates of BW Metals' operations;
 - iv. the identity of any individuals of BW Metals who participated in activities conducted at the Site;

- v. the identity of any individuals of BW Metals who participated in discussions about Respondent's waste disposal practices at the Site;
 - vi. the identity of any individuals of BW Metals who concurrently with Respondent exercised actual control or who held significant authority to control activities at the Site; and
 - vii. the location of BW Metals' operations at the Site.
- b. Please describe, and provide any and all documentation in your custody, control or possession, for each and every contract, agreement, or other relationship Respondent had or has with McGee Family Holdings II, LLC ("McGee Family Holdings") relating to, referring to, or affecting the Site, including but not limited to:
- i. a general statement of the nature of such contract(s), agreement(s) or relationship(s);
 - ii. the dates such contract(s), agreement(s) or relationship(s) existed;
 - iii. a detailed description of the activities conducted by McGee Family Holdings at the Site including the beginning and ending dates of McGee Family Holdings' operations;
 - iv. the identity of any individuals of McGee Family Holdings who participated in activities conducted at the Site;
 - v. the identity of any individuals of McGee Family Holdings who participated in discussions about Respondent's waste disposal practices at the Site;
 - vi. the identity of any individuals of McGee Family Holdings who concurrently with the Respondent exercised actual control or who held significant authority to control activities at the Site; and
 - vii. the location of McGee Family Holdings' operations at the Site.

5. Insurance

NOTE: All questions in this section refer to the time period (2012 to the Present).

- a. Provide copies of all property, casualty and/or liability insurance policies, and any other insurance contracts referencing the Site (including, but not limited to, Environmental Impairment Liability, Pollution Legal Liability, Cleanup Cost Cap or Stop Loss Policies, Institutional Controls and Post Remediation Care Insurance). Include any and all policies providing the Respondent with insurance for loss or damage to the Site property.
- b. To the extent not provided in Question a. above, provide copies of all insurance policies that may potentially provide the Respondent with insurance for bodily injury or property damage in connection with the Site and/or Respondent's business operations (including, but not limited to, Comprehensive General Liability). Include, without limitation, all primary, excess, and umbrella policies.

- c. To the extent not identified in Questions a. or b. above, provide all other evidence of casualty, liability and/or pollution insurance issued to Respondent for the period being investigated.
- d. If there are any such policies of which you are aware but neither possess copies, nor are able to obtain copies, identify each such policy to the best of your ability by identifying:
 - i. the name and address of each insurer and of the insured;
 - ii. the type of policy and policy numbers;
 - iii. the per occurrence policy limits of each policy; and
 - iv. the effective dates for each policy.
- e. Identify all previous settlements by Respondent with any insurer which relates in any way to environmental liabilities and/or to the policies referenced above, including:
 - i. the date of the settlement;
 - ii. the scope of release provided under each settlement;
 - iii. the amount of money paid by the insurer pursuant to such settlement; and
 - iv. provide copies of all such settlement agreements.
- f. Identify all communications and provide all documents that evidence, refer, or relate to claims made by or on behalf of Respondent under any insurance policy in connection with the Site. Include any responses from the insurer with respect to any claims.
- g. Identify any and all insurance, accounts paid or accounting files that identify Respondent's insurance policies.
- h. List all named insureds on property, pollution and/or casualty liability insurance providing coverage to Respondent during the period being investigated including the nature of the insurance requirement and the years when the evidence was required.

6. Respondent's Operations

NOTE: All questions in this section refer to the period being investigated (2012 to the Present).

- a. State the beginning and ending dates of Respondent's activities and/or operations at the Site.
- b. Describe in detail the nature of Respondent's activities and/or operations at the Site by date.

- c. Identify all meetings and communications between Respondent and the officers, directors, managers, and/or employees of CUNI Casting regarding any operations at the Site.
- d. Identify what, if any, reports, statements or other documents the officers, directors, managers, and/or employees of Respondent wrote or received regarding any operations at the Site.
- e. Identify any officers, directors, managers or employees who participated in discussions or other communications regarding the disposal of waste materials at the Site.
- f. State whether any officers, directors or managers of Respondent approved, authorized, discussed, or had knowledge or awareness of any arrangement to dispose of wastes from, or at, the Site. Describe the nature and extent of such approval, authorization, discussion, knowledge, or awareness.
- g. Were any reports discussing waste disposal practices at the Site ever received by the officers, directors or managers of Respondent. If so, indicate (i) when such reports were received; (ii) identify the originator of such reports; (iii) identify the recipient(s) of such reports; and (iv) describe the contents of such reports. If such reports are in your possession or control, submit copies of such reports to EPA.
- h. If not already provided in response to the questions above, provide the identity of any individuals of Respondent who participated in activities conducted at the Site.
- i. If not already provided in response to the questions above, provide the identity of any individuals of Respondent who participated in discussions about Respondent's waste disposal practices at the Site.
- j. If not already provided in response to the questions above, provide the identity of any individuals of Respondent who concurrently with the Respondent exercised actual control or who held significant authority to control activities at the Site.

7. Compliance With This Request

- a. Describe all sources reviewed or consulted in responding to this request, including but not limited to:
 - i. the names of all individuals consulted;
 - ii. the current job title, job description, address and telephone number of each individual consulted;

- iii. the job title and job description during the period being investigated of each individual consulted;
- iv. whether each individual consulted is a past employee of Respondent;
- v. the nature of all documents reviewed;
- vi. the locations where those documents reviewed were kept prior to review; and
- vii. the location where those documents reviewed are currently kept.

8. Document Retention

- a. If any of the documents solicited in this information request are no longer available, please indicate the reason why they are no longer available. If the records were destroyed, provide us with the following:
 - i. your document retention policy;
 - ii. a description of how the records were destroyed (*e.g.*, burned, archived, trashed) and the approximate date of destruction;
 - iii. a description of the type of information that would have been contained in the documents; and
 - iv. the name, job title and most current address known by you of the person(s) who would have produced these documents; the person(s) who would have been responsible for the retention of these documents; and the person(s) who would have been responsible for the destruction of these documents.

The following form of declaration must accompany all information submitted by Respondent in response to the Information Request:

DECLARATION

I declare under penalty of perjury that I am authorized to respond on behalf of

_____ and that the foregoing is complete, true, and correct.
Respondent

Executed on _____, 20__

Signature

Type Name

Title

INFORMATION REQUEST INSTRUCTIONS

1. Answer Every Question Completely. You are required to provide a separate answer to each and every question and subpart of a question set forth in this Information Request. Incomplete, evasive, or ambiguous answers shall constitute failure to respond to this Information Request and may subject you to the penalties set out in the cover letter.
2. Number Each Answer. Number each answer with the number of the question to which it corresponds.
3. Provide Information about the Period Being Investigated. You are required to answer each question with respect to the period being investigated. If the response fails to address the period being investigated, EPA will consider this a failure to comply with the request and may take action against you for this noncompliance.
4. Provide the Best Information Available. You must provide responses to the best of Respondent's ability, even if the information sought was never put down in writing or if the written documents are no longer available. You should seek out responsive information from current and former employees/agents. Submission of cursory responses when other responsive information is available to the Respondent will be considered non-compliance with this Information Request.
5. Identify Sources of Answer. For each question, identify (see Definitions) all the persons and documents that you relied on in producing your answer.
6. Submit Documents with Labels Keyed to Question. For each document produced in response to this Information Request, indicate on the document (or in some other reasonable manner) the number of the question to which it responds.
7. Continuing Obligation to Provide/Correct Information. If additional information or documents responsive to this Request become known or available to you after you respond to this Request, EPA hereby requests pursuant to CERCLA Section 104(e) that you supplement your response to EPA. Failure to supplement your response within thirty (30) days of discovering such responsive information may subject you to \$57,317 per day penalties. If at any time after the submission of this response, you discover or believe that any portion of the submitted information is false or misrepresents the truth, you must notify EPA of this fact as soon as possible and provide EPA with a corrected response. If any part of the response to this Information Request is found to be false, the signatory to the response and the Respondent may be subject to criminal prosecution.
8. Complete the Enclosed Declaration. You are required to complete the enclosed declaration which certifies that the information you are providing in response to this Information Request is true, accurate, and complete.

9. Confidential Information. The information requested herein must be provided even though you may contend that it includes confidential information or trade secrets. You may assert a confidentiality claim covering part or all of the information requested pursuant to Sections 104(e)(7)(E) and (F) of CERCLA, 42 U.S.C. §§ 9604(e)(7)(E) and (F), and Section 3007(b) of RCRA, 42 U.S.C. § 6927(b), and 40 C.F.R. § 2.203(b). All information claimed to be confidential should be contained on separate sheet(s) and should be clearly identified as "trade secret" or "proprietary" or "company confidential." These separate marked sheets should be submitted to EPA by hard copy or compact disc, and not by email. Personal financial information, including individual tax returns, may also be claimed as confidential. In addition, please note that you bear the burden of substantiating your confidentiality claim. Your claim of confidentiality should be supported by the submission of information supporting such a claim; the type of information to be submitted is set out in 40 C.F.R. Part 2. Information covered by a claim of confidentiality will be disclosed by EPA only to the extent, and only by means of the procedures, provided in 40 C.F.R. §§ 2.201-2.311. **If no such claim accompanies the information when it is received by EPA, or if you do not assert such claim on the information, it may be made available to the public by EPA without further notice to you.** You should read the above cited regulations carefully before asserting a business confidentiality claim, since certain categories of information are not properly the subject of such a claim.

10. Disclosure to EPA Contractor. Information which you submit in response to this Information Request will be disclosed by EPA to authorized representatives of the United States, pursuant to 40 C.F.R. 2.310(h), even if you assert that all or part of it is confidential business information. Please be advised that EPA intends to disclose all responses to this Information Request to one or more of its private contractors listed in the attached EPA Contractor List for the purpose of organizing and/or analyzing the information contained in the responses to this Information Request. If you are submitting information which you assert is entitled to treatment as confidential business information, you may comment on this intended disclosure within fourteen (14) days of receiving this Information Request.

11. Personal Privacy Information. Personnel and medical files, and similar files the disclosure of which to the general public may constitute an invasion of privacy should be segregated from your responses, included on separate sheet(s), and marked as "Personal Privacy Information." You should note however, that unless prohibited by law, EPA may disclose this information to the general public without further notice to you. (Please see Instruction 9 for information concerning treatment of individual tax returns.)

12. Objections to Questions. While the Respondent may indicate that it objects to certain questions in this Information Request, it must provide responsive information notwithstanding those objections. To object without providing responsive information may subject Respondent to the penalties set out in the cover letter.

13. Claims of Privilege. If you claim that any document responsive to this Information Request is a communication for which you assert that a privilege exists for the entire document, identify (see Definitions) the document and provide the basis for asserting the privilege. For any

document for which you assert that a privilege exists for a portion of it, provide the portion of the document for which you are not asserting a privilege, identify the portion of the document for which you are asserting the privilege, and provide the basis for such an assertion. Please note that regardless of the assertion of any privilege, any facts contained in the document which are responsive to the Information Request must be disclosed in your response.

EPA CONTRACTOR LIST

Updated April, 2017

CONTRACTOR

CONTRACT NUMBER

ASRC Federal Mission Services
Effective: February 15, 2017
Subcontractor: Booz Allen Hamilton

Contract # EP-W-17-011

Eisenstein Malanchuk LLP
Effective: March 1, 2013

Contract # EP-W-013-006

KGSNE JV, LLC
Effective: April 5, 2017
Subcontractor: TechLaw, Inc.

START 8(a) Contract # EP-S-11701

Industrial Economics, Inc.
Effective: 2016

Contract # EP EP-W-16-023

INFORMATION REQUEST DEFINITIONS

All terms not defined herein shall have their ordinary meaning, unless such terms are defined in CERCLA, 42 U.S.C. Section 9601 et seq., RCRA, 42 U.S.C. Section 6901 et seq., or Volume 40 of the Code of Federal Regulations (CFR), in which case such statutory or regulatory definitions shall apply.

The following definitions shall apply to the following words as they appear in this Information Request and related Enclosures:

1. The term “you” or “Respondent” shall mean the addressee of this Request (BWM Metals, LLC), the addressee's officers, managers, employees, contractors, trustees, partners, successors, assigns, and agents, and any predecessor or successor corporations or companies, and/or any subsidiaries thereof.

2. The terms “document” and “documents” shall mean any method of recording, storing, or transmitting information. “Document” shall include but not be limited to:

(a) writings of any kind, formal or informal, whether or not wholly or partially in handwriting, including (by way of illustration and not by way of limitation) any of the following:

1. invoice, receipt, endorsement, check, bank draft, cancelled check, deposit slip, withdrawal slip, order;
2. letter, correspondence, fax, telegram, telex, Email;
3. minutes, memorandum of meetings and telephone and other conversations, telephone messages;
4. agreement, contract, and the like;
5. log book, diary, calendar, desk pad, journal;
6. bulletin, circular, form, pamphlet, statement;
7. report, notice, analysis, notebook;
8. graph or chart; or
9. copy of any document.

(b) microfilm or other film record, photograph, or sound recording on any type of device;

(c) any tape, disc, or other type of memory generally associated with computers and data processing, together with:

1. the programming instructions and other written material necessary to use such punch card, disc, or disc pack, tape or other type of memory; and

2. printouts of such punch card, disc, or disc pack, tape or other type of memory; and

- (d) attachments to or enclosures with any document as well as any document referred to in any other document.

3. The term “identify” or “provide the identity of” means, with respect to a natural person, to set forth: (a) the person's full name, (b) present or last known business and home addresses and telephone numbers; and (c) present or last known employer (include full name and address) with job title, position or business.

4. The term “identify” or “provide the identity of” means, with respect to a corporation, partnership, business trust, government office or division, or other entity (including a sole proprietorship), to set forth: (a) its full name; (b) complete street address and telephone number; (c) legal form (e.g. corporation, partnership, etc.); (d) the state under whose laws the entity was organized; and (e) a brief description of its business.

5. The term “identify” or “provide the identity of” means, with respect to a document, to provide: (a) its customary business description (e.g., letter, invoice); (b) its date; (c) its number, if any (e.g., invoice or purchase order number); (d) the identity of the author, addressor, addressee and/or recipient; (e) and a summary of the substance or the subject matter. Alternatively, Respondent may provide a copy of the document.

6. The term “material” or “materials” shall mean any and all objects, goods, substances, or matter of any kind, including but not limited to wastes.

7. The terms “the period being investigated” and “the relevant time period” shall mean the period being investigated as specified on the first page of the Information Request Questions.

8. The terms “the Site” or “the facility” shall mean and include the property located at 75 Liberty Street and 7 Riverside Drive in Ansonia, CT, currently identified by EPA as the Liberty Street Ansonia Copper & Brass Superfund Site, which is more fully described in the enclosed Site Description.

9. The term “waste” or “wastes” shall mean and include trash, garbage, refuse, by-products, solid waste, hazardous waste, hazardous substances, and pollutants or contaminants, whether solid, liquid, or sludge, including but not limited to containers for temporary or permanent holding of such wastes.

10. The term “asset” shall mean and include but not be limited to the following: cash, commodities, personal property, collectibles, real estate, equipment, vehicles, furniture, inventory, supplies, customer lists, accounts receivable, interest in insurance policies,

interests in partnerships, corporations, and unincorporated companies, whether foreign or domestic, securities, patents, stocks, bonds, and other tangible as well as intangible property.

11. The term “real estate” shall mean and include, but not be limited to the following: land, buildings, a house, dwelling place, condominium, cooperative apartment, office or commercial building, including those located outside the United States.



U.S. Environmental Protection Agency, Region IX

Financial Statement for Businesses *

(If additional space is needed, attach a separate sheet)

1. Your name and address (including zipcode and county)	1a. Business name and address (including zipcode and county)	2. Business phone number ()	4. (Check appropriate box) <input type="checkbox"/> Sole proprietor <input type="checkbox"/> Trust <input type="checkbox"/> Partnership <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/> Corporation
3. Name and address of registered agent (including zipcode and county)		7a. Type of business 7b. SIC Code	
5. State of Incorporation (or country if foreign)	5a. Employer Identification Number		

8. Information about owner, partners, officers, directors, major shareholder (5% or more stock ownership), other holders of more than 5% equity interest, holders of rights to purchase more than equity interest and other persons with an ability to control.

Name and Title	Effective Date	Home Address	Social Security Number (optional)	Phone Number	Total Shares or Interest

Section I

General Financial Information

9. Last three years Federal and state income tax returns	Forms Filed	Tax Years ended	Net income before taxes
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10. Bank accounts (List all types of accounts including checking, savings, certificates of deposit, etc.)

Name of Institution	Address	Type of Account	Account No.	Balance
Total (Enter in Item 19)				

11. Bank Credit available (Lines of credit, etc.)

Name of Institution	Address	Credit Limit	Amount Owed	Credit Available	Monthly
Totals					

12. Location, box number, and contents of all safe deposit boxes rented or accessed

* This information is requested pursuant to Section 104(e) of the Comprehensive Environmental Response, Compensation and Liability Act, 42 U.S.C. § 9604, and is not subject to approval of the Paperwork Reduction Act of 1980, 44 U.S.C. § 3501, et seq.

Section I - continued

General Financial Information

13. Real property	
Brief Description and Type of Ownership	Address (include county, state and parcel number)
a.	
b.	
c.	

14. Insurance policies owned with business as beneficiary					
Name Insured	Company	Policy Number	Type	Face Amount	Available Loan Value
Total (Enter in Item 21)					

15. Additional Information (Court and administrative proceedings by or against the business, settlement agreements, agreements to purchase or sell tangible or financial assets other than in the ordinary course of business, legal claims [whether asserted or not], bankruptcies, repossessions, recent transfers of assets for less than full value, anticipated increases in income, options to buy or sell real or personal property, real or personal property being purchased under contract, real or personal property being held on behalf of the business).

15a. List all subsidiaries owned, joint ventures, partnerships and other entities controlled by the business. Provide current market value of the business' interest in such subsidiary or other entity.

16. Federal government departments or agencies with whom you have a contract for payment of goods or services				
Agency Name	Address	Contract No.	Amount to be Received	Payment Due Date

16a. Federal government departments or agencies that have extended or given the business loans, grants or assistance, or to which you have applied (or anticipate applying for any loan, grant, or assistance) in the past 5 years.

17. Accounts/Notes receivable (Include loans to stockholders, officers, partners, etc.)				
Agency Name	Address	Amount Due	Due Date	Status
Total (Enter in Item 20)				

Section II.

Asset and Liability Analysis

Description (a)	Cur. Mkt Value (b)	Liabilities Bal. Due (c)	Equity in Asset (d)	Amount of Mo. Pymt. (e)	Name and Address of Lien/Note Holder/Obligee (f)	Date Pledged (g)	Date of Final Pymt. (h)
18. Cash on hand							
19. Bank accounts							
19a. Securities and other financial assets owned							
20. Accounts/Notes receivable							
21. Insurance Loan Value							
22. Real property (from item 13)	a.						
	b.						
	c.						
	d.						
23. Vehicles (Model, year, license)	a.						
	b.						
	c.						
24. Machinery and equipment (Specify)	a.						
	b.						
	c.						
25. Merchandise inventory (Specify)	a.						
	b.						
26. Other Assets (including permits, licenses, tax loss carry forwards, agreements not to compete, other contracts) (Specify)	a.						
	b.						
	c.						
	d.						
27. Other Liabilities (Include judgements, notes, tax liens, etc.)	a.						
	b.						
	c.						
	d.						
	e.						
28. Federal & State Taxes Owed							
29. Totals							

Section III.

Income and Expense Analysis

The following information applies to income and expenses during a one year period:

Accounting method used

_____ to _____

Income		Expenses	
30. Gross receipts from sales, services, etc.	\$	36. Materials purchased	\$
31. Gross rental income		37. Wages and salaries of employees	
32. Interest		38. Wages/salaries/bonuses for officers, directors and stockholders	
33. Dividends		39. Rent	
34. Other income (Specify)		40. Installment payments (from line 29)	
		41. Supplies	
		42. Utilities / Telephone	
		43. Gasoline / Oil	
		44. Repairs and maintenance	
		45. Insurance	
		46. Current taxes	
		47. Other, including fees paid for services (Specify)	
35. Total	\$	48. Total	\$
		49. Net difference	\$

50. List all transferred real & personal property, including cash (by gift; by loan that was not at fair market terms; by sale for less than fair market value or made outside the normal course of business, etc.) that was made within the last 3 years (items of \$3,000.⁰⁰ or more):

Date	Amount	Property Transferred	To Whom	Conditions of Transfer
			(Indicate any relationship to business or its partners, directors, stockholders, or other controlling persons)	

Certification

Under penalties of perjury, I declare that to the best of my knowledge and belief this statement of assets, liabilities, and other information is true, correct, and complete.

51. Signature

52. Print Name / Title

53. Date

ATTACHMENT
SITE DESCRIPTION

The Liberty Street Ansonia Copper and Brass Site is located at 75 Liberty Street (Parcel ID 03300190000) and 7 Riverside Drive (Parcel ID 03500010004) in Ansonia, New Haven County, CT. The 75 Liberty Street property is 16.5 acres, and the 7 Riverside Drive property is 22.04-acres. The two properties are divided by an active rail line. The Site is bordered to the west by the Naugatuck River, to the north and east by residential and commercial properties, and to the south by industrial and commercial properties. The Site is currently inactive and formerly used for the manufacture and/or processing of copper and brass products. Several large buildings occupy the Site, including an office building with a metallurgy laboratory in the basement, the Casting Mill (Building 1), the Power House (Building 2), the Rod Mill (Building 3), the Extrusion Mill (Building 4), the Flat Wire Mill (Building 5), and the waste water treatment plant. The facility is abandoned, unguarded and accessible to trespassers. The buildings and roofs are deteriorating, and the Site no longer has heat, electricity, or water services in case of fire.

In May 2017, the Connecticut Department of Energy and Environmental Protection referred the Site to EPA's Emergency Planning and Response Branch. In July 2017, EPA conducted a Preliminary Assessment and Site Investigation and identified the following environmental hazards throughout the Site: asbestos-containing material ("ACM") on piping, equipment, or within tiles; open containers and drums of suspected used hydraulic oil from machinery; drums of unidentified liquids and/or solids; vats and pits of contaminated rainwater; large transformers that previously contained polychlorinated biphenyl ("PCB") oil; and small containers and jars of chemicals in the metallurgy laboratory. EPA collected samples of solid/sludge, aqueous liquids, ACM, suspected PCB transformer oil, and drum product throughout the numerous mill buildings.

Hazardous substances at the Site included PCBs, heavy metals, corrosive wastes, and friable asbestos, and were a potential health threat to anyone walking on, traveling by or living near the Site. EPA subsequently determined that a removal action was necessary.

From September 18, 2017 to September 24, 2018, EPA performed a time-critical removal action including but not limited to: site security as necessary; additional sampling to determine the extent of contamination; air monitoring, dust control and suppression; removed lab pack chemicals located in metallurgy laboratory; hazardous categorization of drums/containers/pits/trough contents; removed contaminated liquid/solid/sludge areas inside the buildings and staged for transportation; consolidated/over-packed and staged containers of hazardous substances; collected and consolidated accessible friable asbestos in degrading condition located inside and around the buildings; removed and disposed of any other hazardous substances; coordinated transportation and disposal of collected wastes to EPA approved disposal facilities; installed safety fencing and warning signage around all open floor pits and trenches prior to demobilization to protect trespassers from fall hazards; and repaired response-related damage.

END OF INFORMATION REQUEST
THANK YOU FOR YOUR COOPERATION

